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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number Of Pages In This Submission

7 PAGES PLUS
47
REFERENCES

Application Number	09/925,720
Filing Date	August 8, 2001
First Named Inventor	Vincent GIGUERE
Group Art Unit	1645
Examiner Name	To Be Assigned
Attorney Docket No.	514012000200

ENCLOSURES (check all that apply)

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| <input type="checkbox"/> Fee Transmittal Form | <input type="checkbox"/> Assignment Papers
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SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

Firm
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Gladys H. Monroy
Morrison & Foerster LLP
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Signature

Gladys Monroy

Date

February 25, 2002

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Docket No. 514012000280

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Vincent GIGUERE et al.

Application No.: 09/925,720

Filing Date: August 08, 2001

For: NON-HUMAN TRANSGENIC ANIMAL
WHOSE GERM CELLS AND SOMATIC
CELLS CONTAIN A KNOCKOUT
MUTATION IN DNA ENCODING
ORPHAN NUCLEAR RECEPTOR
ERRALPHA

Examiner: To Be Assigned

Group Art Unit: 1645

**INFORMATION DISCLOSURE
STATEMENT UNDER 37 C.F.R. § 1.97 AND § 1.98**

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record.

This Information Disclosure Statement is submitted:

- ☐ With the application; accordingly, no fee or separate requirements are required.
- ☒ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☐ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
 - ☐ A fee is required. A check in the amount of _____ is enclosed.
 - ☐ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly; no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a check in the amount of _____ is enclosed.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 and § 1.98 is to the best of my knowledge and is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

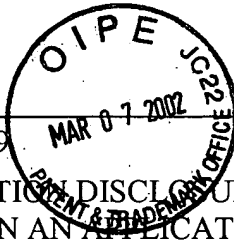
In the unlikely event that the transmittal form is separated from this document and the Patent Office determines that an extension and/or other relief is required, Applicants petition for any required relief including extensions of time and authorize the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing **514012000200**. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: February 15, 2002

Respectfully submitted,

By: Gladys H. Monroy
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Registration No. 32,430

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Form PTO-1449

INFORMATION DISCLOSURE CITATION
IN AN APPLICATION

(Use several sheets if necessary)

Docket Number 514012000200

Application Number 09/925,720

Applicant

Vincent GIGUERE et al.

Filing Date August 8, 2001

Group Art Unit 1645

Mailing Date February 25, 2002

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U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate
	1.	07/28/1987	4,683,195	Mullis et al.			
	2.	07/28/1987	4,683,202	Mullis			
	3.	01/24/1989	4,800,159	Mullis et al.			
	4.	10/23/1990	4,965,188	Mullis et al.			
	5.	03/29/1994	5,298,429	Evans et al.			
	6.	01/14/1997	5,593,974	Rosenberg et al.			
	7.	08/04/1998	5,789,654	Lowell et al.			

FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO
	8.	05/13/1993	WO 93/08845	WIPO			
	9.	09/25/1996	EP 0 733 705 A1	Europe			
	10.	04/18/1996	WO 96/11266 A2, A3	WIPO			
	11.	10/24/1996	WO 96/32966 A1	WIPO			
	12.	04/01/1999	WO 99/15646	WIPO			
	13.	12/19/1996	WO 96/41169	WIPO			
	14.	08/17/2000	WO 00/47735 A2, A3	WIPO			
	15.	12/23/1999	WO 99 65486 A1	WIPO			

OTHER DOCUMENTS

(including author, title, Date, Pertinent Pages, Etc.)

Examiner Initials	Ref. No.	Title
	16.	Ausubel, F. M. et al. (1994). "Current Protocols in Molecular Biology," John Wiley & Sons, New York (Table of Contents) 13 pages total.

EXAMINER:

DATE CONSIDERED:

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Form PTO-1449

INFORMATION REGARDING CITATION
IN AN APPLICATION

(Use several sheets if necessary)

Docket Number 514012000200

Application Number 09/025,720

Applicant

Vincent GIGUERE et al.

Filing Date August 8, 2001

Group Art Unit 1645

Mailing Date February 25, 2002

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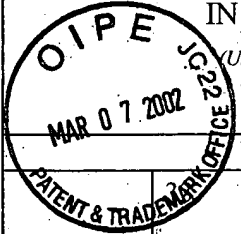
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| 17. | Bryant, H. U. and Dere, W. H. (January 1998). "Selective Estrogen Receptor Modulators: Alternative to Hormone Replacement Therapy," <i>Proc. Soc. Exp. Biol. Med.</i> 217:45-52. |
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| 32. | Osol, A. (1980). "Remington's Pharmaceutical Sciences," 16th Ed., Mack Publishing Company (Table of Contents) total pages 3. |

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DATE CONSIDERED:

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Form PTO-1449		Docket Number 514012000200	Application Number 09/025,729
INFORMATION DISCLOSURE CITATION IN AN APPLICATION (Use several sheets if necessary)		Applicant Vincent GIGUERE et al.	
		Filing Date August 8, 2001	Group Art Unit 1645
		Mailing Date February 25, 2002	
			
		Pettersson, K. et al. (1996). "Expression of a Novel Member of Estrogen Response Element-Binding Nuclear Receptors is Restricted to the Early Stages of Chorion Formation During Mouse Embryogenesis," <i>Mech. of Dev.</i> 54:211-223.	
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